II. SUMMARY OF PERFORMANCE RESULTS

Overall, we were successful in achieving 78% (18 of 23) of our performance goals.

RESULTS FOR STRATEGIC OUTCOME GOALS: We achieved all four of our outcome goals (100%) in FY 2002.

FY 2002 Performance Results		
Number of Goals Achieved		
Outcome Goals	4 of 4 (100%)	
Management Goals	14 of 19 (74%)	
TOTAL	18 of 23 (78%)	

RESULTS FOR MANAGEMENT GOALS: We achieved 14 of our 19 management goals (74%) in FY 2002.

The following Table provides a summary of NSF's FY 2002 results.

II. – Summary of Performance Results ANNUAL PERFORMANCE GOALS FOR NSF'S STRATEGIC OUTCOMES

Strategic Outcome	FY 2002 Annual Performance Goal ⁷	Results for National Science Foundation
People Strategic Outcome	Performance Goal III-1a: NSF's performance for the People Strategic Outcome is successful when, in the aggregate, results reported in the period demonstrate significant achievement in the majority (4 of 7) of the following indicators:	FY 2001: NSF successful FY 2002: NSF is successful for goal III-1a.
Outcome Goal III-1: Development of "a diverse, internationally	 Development of well-prepared scientists, engineers or educators whose participation in NSF activities provides them with the capability to explore frontiers and challenges of the future. 	Demonstrated significant achievement
competitive and globally-engaged workforce of scientists,	Improved science and mathematics performance for U.S. K-12 students involved in NSF activities.	Demonstrated significant achievement.
engineers, and well- prepared citizens."	Professional development of the SMET instructional workforce involved in NSF activities.	Demonstrated significant achievement.
	Contributions to development of a diverse workforce through participation of underrepresented groups (women, underrepresented minorities, persons with disabilities) in NSF activities.	Demonstrated significant achievement
	 Participation of NSF-supported scientists and engineers in international studies, collaborations, or partnerships. 	Demonstrated significant achievement
	Enhancement of undergraduate curricular, laboratory, or instructional infrastructure.	Demonstrated significant achievement.
	Awardee communication with the public in order to provide information about the process and benefits of NSF supported science and engineering activities.	Demonstrated significant achievement.
	FY 2002 Result: Reports prepared by external experts during FY 2002 GPRA reporting provide assessments and retrospective examples of NSF-supported projects that document significant achievement.	

⁷ These performance goals are stated in the alternate form provided for in GPRA legislation.

II. – Summary of Performance Results ANNUAL PERFORMANCE GOALS FOR NSF'S STRATEGIC OUTCOMES (continued)

Strategic Outcome	FY 2002 Annual Performance Goal	Results for National Science Foundation
People Strategic Outcome	Performance Goal III-1b: After three years of NSF support, over 80 percent of schools participating in systemic initiative programs will: (1) implement a standards-based curriculum in science and mathematics with at least one-third of their teachers; (2) provide professional development for at least one-third of their teachers; and (3) improve student achievement on a selected battery of math and science tests at one or more of three educational levels (elementary, middle and high school). FY 2002 Result: Systemic Initiative (SI) projects reported that 93% of their schools met the GPRA goal for mathematics curriculum implementation and 91% met the goal for the implementation of science curriculum. For professional development 96% of the SI schools reported meeting the goal for mathematics professional development and 95% met the goal for science professional development. Finally SI projects reported that at the middle school level 87% of participating schools met the goal of improved student achievement in math and 86% met the goal of improved student achievement in science.	

ANNUAL PERFORMANCE GOALS FOR NSF'S STRATEGIC OUTCOMES (continued)

Strategic Outcome	FY 2002 Annual Performance Goal ⁸	Results for National Science Foundation
Ideas Strategic Outcome	Performance Goal III-2: NSF's performance for the Ideas Strategic Outcome is successful when, in the aggregate, results reported in the period demonstrate significant achievement in the majority (4 of 6) of the following indicators:	FY 2001: NSF successful FY 2002: NSF is successful for goal III-2.
Outcome Goal III-2: Enabling "discovery across the frontier of science and engineering, connected to learning, innovation and service to society."	 Discoveries that expand the frontiers of science, engineering, or technology. Discoveries that contribute to the fundamental knowledge base. Leadership in fostering newly developing or emerging areas. Connections between discoveries and their use in service to society. Connections between discovery and learning or innovation. Partnerships that enable the flow of ideas among the academic, public or private sectors. FY 2002 Result: Reports prepared by external experts during FY 2002 GPRA reporting provide assessments and retrospective examples of NSF-supported projects that document significant achievement. 	 Demonstrated significant achievement.

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 $^{^{\}rm 8}$ These performance goals are stated in the alternate form provided for in GPRA legislation.

ANNUAL PERFORMANCE GOALS FOR NSF'S STRATEGIC OUTCOMES (continued)

Strategic Outcome	FY 2002 Annual Performance Goal ⁹	Results for National Science Foundation
Tools Strategic Outcome	Performance Goal III-3:	
Outcome Goal III-3:	NSF is successful when, in the aggregate, results reported in the period demonstrate significant achievement in one or more of the following indicators:	FY 2001: NSF successful FY 2002: NSF is successful for goal III-3.
Providing "broadly accessible, state-of-the art and shared research and education tools."	Provision of facilities, databases or other infrastructure that enable discoveries or enhance productivity by NSF research or education communities;	Demonstrated significant achievement.
	Provision of broadly accessible facilities, databases or other infrastructure that are widely shared by NSF research or education communities;	Demonstrated significant achievement.
	Partnerships, e.g., with other federal agencies, national laboratories, or other nations, to support and enable development of large facilities and infrastructure projects;	Demonstrated significant achievement.
	Use of the Internet to make SMET information available to the NSF research or education communities;	Demonstrated significant achievement.
	Development, management, or utilization of very large data sets and information-bases; and	Demonstrated significant achievement.
	Development of information and policy analyses that contribute to the effective use of science and engineering resources.	Demonstrated significant achievement.
	FY 2002 Result: Reports prepared by external experts during FY 2002 GPRA reporting provide assessments and retrospective examples of NSF-supported projects that document significant achievement.	

⁹ These performance goals are stated in the alternate form provided for in GPRA legislation.

II. – Summary of Performance Results ANNUAL PERFORMANCE GOALS FOR NSF'S MANAGEMENT

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Proposal and Award Process		
Use of Merit Review	Performance Goal IV-1: At least 85 percent of basic and applied research funds will be allocated to projects that undergo merit review. FY 2000 Goal 80% FY 2000 Result 87% FY 2001 Goal 85% FY 2001 Result 88% FY 2002 Goal 85% FY 2002 Result 88%	FY 1999: NSF successful for related goal FY 2000: NSF successful FY 2001: NSF successful FY 2002: NSF is successful for goal IV-1.
Implementation of Merit Review Criteria – Reviewers	Performance Goal IV-2: Reviewers will address the elements of both generic review criteria at a level above that of FY 2001. Performance Indicator: Percent of reviews using both merit review criteria. FY 2001 Result 69% FY 2002 Result 84%	FY 2001: NSF not successful FY 2002: NSF is successful for goal IV-2.
Implementation of Merit Review Criteria – Program Officers	Performance Goal IV-3: Program Officers will consider elements of both generic review criteria in making decisions to fund or decline proposals. Performance Indicator: Percent of review analyses (Form 7s) that comment on aspects of both merit review criteria as determined by directorate or advisory committee sampling. FY 2001 Result: Program reports prepared by external experts during FY 2001 GPRA reporting led NSF to conclude it was successful in implementation of both merit review criteria by program managers. FY 2002 Result: A statistically determined sample of FY 2002 review analyses was evaluated by NSF staff to determine the extent of Program Officer usage of both review criteria. It was determined that approximately 78% of review analyses commented on aspects of both merit review criteria.	FY 2001: NSF successful FY 2002: NSF is successful for goal IV-3.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Customer Service: Time to Prepare Proposals	Performance Goal IV-4: Ninety-five percent of NSF program announcements will be available to relevant individuals and organizations at least three months prior to the proposal deadline or target date. FY 1998 Baseline 66% FY 1999 Result 75% FY 2000 Goal 95% FY 2000 Result 89% FY 2001 Goal 95% FY 2001 Result 100% FY 2002 Goal 95% FY 2002 Result 94% FY 2002 Result: In FY 2002, 94% (111 of 118) of program announcements and solicitations were made available at least 90 days before the proposal deadline or target date. In FY 2003 NSF will work toward this goal by planning for competitions requiring individual announcements and solicitations as far in advance as possible and initiating clearance processes in a timely manner. In addition, NSF has recently implemented the electronic Program Information Management System (PIMS), which is expected to improve the efficiency of announcement preparation.	FY 1999: NSF not successful FY 2000: NSF not successful FY 2001: NSF successful FY 2002: NSF is not successful for goal IV-4.
Customer Service: Time to Decision	Performance Goal IV-5: For 70 percent of proposals, be able to tell applicants whether their proposals have been declined or recommended for funding within six months of receipt. FY 1998 Baseline 59% FY 1999 Result 58% FY 2000 Goal 70% FY 2000 Result 54% FY 2001 Goal 70% FY 2001 Result 62% FY 2002 Goal 70% FY 2002 Result 74%	FY 1999: NSF not successful FY 2000: NSF not successful FY 2001: NSF not successful. FY 2002: NSF is successful for goal IV-5.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Diversity - Reviewer Pool	Performance Goal IV-6: Establish a baseline for participation of members of underrepresented groups in NSF proposal review activities. FY 2002 Result: NSF cannot legally require reviewers to provide demographic information. Provision of such data is voluntary. NSF requested and collected demographic data from reviewers but given the low response rate there is not enough information to establish a baseline. A total of 37,943 distinct reviewers returned their reviews on proposals decided upon in FY 2002. Demographic information is available for 3,507 of these reviewers and 1,168 (33%) of these 3,507 reviewers are members of an underrepresented group. In FY 2003, NSF will continue to request demographic information from reviewers.	FY 2001: NSF successful for related goal FY 2002: NSF is not successful for goal IV- 6.
Award Portfolio		
Award Size	Performance Goal IV-7a: NSF will increase the average annualized award size for research projects to a level of \$113,000, compared to a goal of \$110,000 in FY 2001. FY 1998 Baseline \$90,000 FY 1999 Result \$94,000 FY 2000 Result \$105,800 FY 2001 Goal \$110,000 FY 2001 Result \$113,601 FY 2002 Goal \$113,000 FY 2002 Result \$115,666	FY 2001: NSF successful FY 2002: NSF is successful for goal IV-7a.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Award Duration	Performance Goal IV-7b: NSF will maintain the FY 2001 goal of 3.0 years for the average duration of awards for research projects. FY 1998 Baseline 2.7 years FY 1999 Goal 2.8 years FY 1999 Result 2.8 years FY 2000 Result 2.8 years FY 2001 Goal 3.0 years FY 2001 Goal 3.0 years FY 2002 Goal 3.0 years FY 2002 Result 2.9 years FY 2002 Result 2.9 years FY 2002 Result 2.9 years FY 2002 Result: Resource limitations negatively impacted NSF's ability to achieve both the award size and award duration goals. NSF focused its efforts on increasing average annualized award size. In FY 2003, NSF will continue to focus on increasing award size and duration in order to improve the efficiency of the research process.	FY 1999: NSF successful FY 2000: Goal not applicable FY 2001: NSF not successful FY 2002: NSF is not successful for goal IV-7b.
Award Oversight and Management		
Award Oversight	 Performance Goal IV-8: NSF will develop and initiate a risk assessment / risk management plan for awards. Performance Indicators: Development of an appropriate risk assessment model. Development of an effort analysis to determine necessary resource allocation (personnel, travel and training). Completion of a pilot program testing the risk assessment monitoring tools at several high-risk awardee institutions. FY 2002 Result: NSF produced the Risk Assessment and Award Monitoring Guide, developed an effort analysis to determine necessary resource allocation for future risk management efforts, and developed and completed a pilot test of risk assessment monitoring tools at 15 sites. 	FY 2002: NSF is successful for goal IV-8.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Facilities Oversight		
Construction and Upgrade of Facilities	Performance Goal IV-9a: For 90 percent of facilities, keep construction and upgrades within annual expenditure plan, not to exceed 110 percent of estimates. FY 1999 Result: Majority of facilities within 110 percent of annual spending estimates. FY 2000 Result: Of the 11 construction and upgrade projects, all were within annual expenditure plans; most were under budget. FY 2001 Result: Of 25 construction and upgrade projects, 24 (96%) were within 110 percent of annual expenditure plans. FY 2002 Result: Of 28 construction and upgrade projects, 26 (93%) were within 110 percent of annual expenditure plans.	FY 1999: NSF successful for related goal FY 2000: NSF successful FY 2001: NSF successful for related goal FY 2002: NSF is successful for goal IV-9a.
Construction and Upgrade of Facilities	Performance Goal IV-9b: Ninety percent of facilities will meet all annual schedule milestones. FY 1999 Result: Majority of facilities on schedule. FY 2000 Result: Majority (7 of 11) of construction/upgrade projects within the annual schedule goal. FY 2001 Result: Of the 25 construction and upgrade projects, 21 (84%) met all annual schedule milestones by the end of the reporting period. FY 2002 Result: Of the 27 construction and upgrade projects, 13 (48%) met all annual schedule milestones. In FY 2001, milestones reached at any time within the fiscal year were considered successful. In FY 2002, milestones had to be reached by the specified date determined during project development. In some instances contract negotiations caused project delays. In FY 2003, NSF will continue to work with awardees to identify obstacles to successful performance and implement plans to avoid or mitigate their consequences in the future. NSF is also modifying goal statements to more accurately address these measures. Note that while there were 28 reporting facilities for the annual cost goal (Goal IV-9a), one facility was not required to report on annual milestone achievement. This project was expected to continue into FY 2002 but was redefined by Congress and, as a result, was deemed completed in FY 2001. The completed project had no milestones in FY 2002.	FY 1999: NSF successful for related goal FY 2000: NSF not successful for related goal FY 2001: NSF not successful for related goal FY 2002: NSF is not successful for goal IV-9b.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Construction and Upgrade of Facilities	Performance Goal IV-9c: For all construction and upgrade projects initiated after 1996, keep total cost within 110 percent of estimates made at the initiation of construction. FY 2001 Result: One project was completed. The actual total cost was equal to the estimated total cost. FY 2002 Result: Two projects were completed. In one case the actual total cost was equal to the estimated total cost. For the second project, the actual total cost was less than the estimated total cost. NSF is also modifying goal statements to more accurately address these measures.	FY 1999 and FY 2000: There were no projects completed, therefore this goal did not apply. FY 2001: NSF successful FY 2002: NSF is successful for goal IV-9c.
Operations and Management of Facilities	Performance Goal IV-10: For 90 percent of facilities, keep operating time lost due to unscheduled downtime to less than 10 percent of the total scheduled operating time. FY 1999 Result: Reporting database under development. FY 2000 Result: Of the 26 reporting facilities, 22 (85%) met the goal of keeping unscheduled downtime to below 10% of the total scheduled operating time. FY 2001 Result: Of the 29 reporting facilities, 25 (86 percent) met the goal of keeping unscheduled downtime to below 10 percent of the total scheduled operating time. FY 2002 Result: Of the 31 reporting facilities, 26 (84 percent) met the goal of keeping unscheduled downtime to below 10 percent of the total scheduled operating time. Some causes of failure were outside the control of the facility, such as unfavorable weather or electric power supply interruption. Other causes of failure were related to technical problems such as sub-par performance of new instrumentation early in its commissioning stage. In FY 2003, NSF will continue to work with awardees to identify obstacles to successful performance and develop plans to avoid or mitigate their consequences in the future. NSF is also modifying goal statements to more accurately address these measures.	FY 1999: Inconclusive for related goal FY 2000: NSF not successful for related goal FY 2001: NSF not successful FY 2002: NSF is not successful for goal IV-10.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
Business Practices		
Electronic Business	Performance Goal IV-11: NSF will continue to advance the role of "e-business" in review, award, and management processes. Performance Indicator: NSF will double the FY 2001 number of paperless projects that manage the competitive review process in an electronic environment. FY 2001 Result: Ten pilot paperless projects were completed. FY 2002 Result: Thirty-one paperless projects were completed.	FY 2001: NSF successful FY 2002: NSF is successful for goal IV-11.
Security Program	Performance Goal IV-12: NSF will implement an agency-wide security program in response to the Government Information Security Reform Act. Performance Indicators: Risk assessments and certification to operate will be documented and retained. Policies will be developed and disseminated. Security management structure will be implemented. Security related changes to personnel policies (as necessary) will be documented. FY 2002 Result: During the past year, NSF initiated actions to meet the requirements of the Security Act, OMB Circular A-130, and the National Institute of Standards and Technology Security Self-Assessment Guide for Information Technology Systems. The agency met all four performance indicators.	FY 2002: NSF is successful for goal IV-12.
Human Resources and Workplace		
NSF Staff - Diversity	Performance Goal IV-13: NSF will show an increase over FY 2000 in the total number of hires to NSF science and engineering positions from underrepresented groups. FY 2000 Result: 35 females and 19 members of underrepresented minority groups were hired. FY 2001 Result: 38 females and 22 members of underrepresented minority groups were hired. FY 2002 Result: 41 females and 27 members of underrepresented minority groups were hired.	FY 2000: NSF successful for related goal FY 2001: NSF successful for related goal FY 2002: NSF is successful for goal IV-13.

Performance Area	FY 2002 Annual Performance Goal	Results for National Science Foundation
	Performance Goal IV-14: NSF will establish an internal NSF Academy to promote continuous learning for NSF staff. Performance Indicator: Availability of new or revised courses that contribute to an organized curriculum for NSF staff.	FY 2002: NSF is successful for goal IV-14.
Workforce Training	FY 2002 Result: Originally conceived in September 2000, the Academy is evolving in incremental steps. Consolidation of training functions commenced in FY 2001, initial seed money was provided in FY 2002, and more substantive funding has been requested for FY 2003 to initiate a broader curriculum and expanded programs. Once fully operational, the Academy will serve as the central locus of learning, and provide continual learning opportunities for NSF staff.	
	The Academy's courses are now organized in 5 curricula areas: 1. Business and Administrative, 2. Program and Project Management, 3. Leadership and Supervisory Skills, 4. Communication and Personal Effectiveness, and 5. Distance Learning and Technology.	
	During FY 2002, 76 courses were offered, 30 of which were new. In addition, 3 courses were revised to be more responsive to the needs and requirements of our staff.	
	 Performance Goal IV-15: NSF will initiate a strategic business analysis to provide a comprehensive perspective on its future workforce requirements. Performance Indicators: Request for Proposals to perform the strategic business analysis will be released. Skill mix / competencies of the current NSF workforce will be examined. 	FY 2002: NSF is successful for goal IV-15.
	FY 2002 Result: A Request for Proposals was released in March 2002. A contract to conduct the business analysis was awarded in June 2002. A report on initial review of workforce competencies and skill mix was completed and delivered to NSF.	

Performance	FY 2002 Annual	Results for
Area	Performance Goal	National Science Foundation
Work Environment	Performance Goal IV-16: NSF will establish various baselines that will enable management to better assess the quality of worklife and work environment within the Foundation. Performance Indicator: Development of an employee survey. FY 2001 Result: NSF was not successful in completing an internal employee survey. FY 2002 Result: NSF participated in development of an Office of Personnel Management work environment survey of the 24 Federal agencies comprising the President's Management Council. NSF staff participated in the survey administered by OPM.	FY 2001: NSF not successful FY 2002: NSF is successful for goal IV-16.